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ABSTRACT

The best means devised to secure volunteer leadership or funds from whatever source is a case statement. It is one of the initial key management requirements for successful college and university development. The case statement should include: (1) the institutional mission; (2) the record of accomplishment; (3) directions for the future; (4) urgent and continuing development objectives; (5) the plan of action to accomplish future objectives; and (6) the institution's sponsorship. When done and done properly, the case statement can challenge the entire institution toward greater service and enthusiastic support. (HS)

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Frantzreb and Pray Associates, Inc.

THE CASE STATEMENT AS A FACTOR OF INSTITUTIONAL MANAGEMENT AND DEVELOPMENT

ROLE OF THE CASE STATEMENT

To secure volunteer leadership or funds from whatever source, a psychological sequence must take place before success results. The factors of this sequence are attention, interest, confidence, conviction, desire and action. The best means devised to date to telescope these factors over the shortest possible time span towards action is the case statement -- a concise set of persuading features designed to motivate people to do something on behalf of the institution.

The case statement is one of the initial key management requirements for successful college and university development. It represents a basic step -- along with institutional planning, documented needs, research and evaluation of constituency, leadership enlistment, volunteer organization, staff, and budget -- that must be accomplished towards winning greater philanthropic support. A case statement should be kept up to date and relevant. It should be the product of continuous planning and self-study.

Experience has shown that a sophisticated and carefully developed case, together with the active involvement of prime trustee and volunteer leadership, are the two most critical elements affecting an institution's ability to receive available financial support. Without an effective statement of the case, there is less than full readiness for convincing individuals, foundations, corporations and associations to invest in the institution's future.

NATURE OF THE CASE STATEMENT

The case statement sets forth the "argument" for the institution -- its educational goals and program, past and present accomplishments, distinctive role in higher education, services to students and the community, value to society, future opportunities, requirements for faculty, students, facilities and finances, and plan of action for accomplishing future goals. It must:

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1. serve to justify and explain the institution, its programs and needs so as to lead to advocacy and actual support;

2. attempt to win the reader and evolve from a larger reference of institutional role and need to the particular role of the institution;

3. be positive, forward looking and confident with all facts and projections reasonable, clear, vital and accurate;

4. carefully set forth the fund-raising plans in terms of policy, priority and endurable results. The following questions must be anticipated: Why this institution? Why now? Why me? How?;

5. be so clear and concise as to accomplish its purpose in a reasonable length.

USE OF THE CASE STATEMENT

The case statement is most profitably used first as an internal document for the institutional family -- administrators, faculty, students -- to resolve, sharpen and focus their planning and policies into a written statement which interprets the institution to others.

Second, the statement serves to "rally" present leadership around a policy, plan and sales story. It is the expression of institutional policies and plans agreed upon by the Board of Trustees and aggressively promoted by development, alumni, and other volunteer groups.

Third, the statement serves as a vital tool in "campaigning" for leadership. The enlistment of new trustees and top volunteers will be facilitated by the existence of a statement which argues the case for leadership as well as for giving. In addition, the ability to recruit quality faculty and administrators will be enhanced by communicating the case effectively.

Fourth, it serves as a supporting tool in the solicitation of large annual, capital, and special gifts through tailored appeals to selected prospects of considerable wealth.

Fifth, it serves as a basic reference guide for promotional publications and communications of various kinds to the institution's publics -- alumni, parents, friends, church, foundations, corporations, associations, and government resources.

HOW THE CASE STATEMENT SHOULD BE PRODUCED

The case statement described here should be in the form of an attractive but not elaborate presentation booklet or case book. Pages should be bound in loose-leaf fashion with care given to quality paper and size of type. The copy should be reproduced by multilith or photo-offset. There should be flexibility for easily and inexpensively changing pages and revising copy. Produced in this fashion, the case statement serves as a flexible management instrument for achieving a variety of objectives.

WHO SHOULD PRODUCE THE CASE STATEMENT?

It is recommended that the research and fact-gathering necessary to produce the case statement be carried out by the president and his staff. According to an agreed upon outline, the chief development or advancement officer should submit the first draft to the president's cabinet after all material has been collected. Further refinement and final production of the case should be carried out under the development officer's supervision.

Trustee, faculty and volunteer committees should not serve as editorial boards. Experience has shown results are disastrous when this is attempted. A final draft of the statement should be tested with the officers of the Board of Trustees and chairman of development groups for their comments and suggestions before finalization.

SUMMARY

A thorough, honest case statement will transform apathy for an institution into a cause that moves people into action. When done and done properly, the case can challenge the entire institution toward greater service and enthusiastic support.

TYPICAL OUTLINE FOR THE CASE STATEMENT

The following represents a typical outline of a case statement for working purposes. Institutional staff may use this as a check list to pull together material pertinent to the case.

Title

Table of Contents

Preface or Summary. This section should express the essence of the case in one or two pages and state overall goals to be achieved.

I. INSTITUTIONAL MISSION

A. Role in higher education and society

B. Philosophy of education

C. Educational goals and program

D. Salient factors in its history -- heritage and distinctions that have endured.

E. Factors that appeal to:

1. Students and their parents
2. Faculty and administrators
3. Trustees and volunteers
4. Friends and community
5. Past donors
6. Potential leadership and financial resources.

II. THE RECORD OF ACCOMPLISHMENT

A. Academic growth -- regular and special programs

B. Students -- meeting their needs

C. Faculty and administrators

1. Nature and quality
2. Role in teaching, research, policy

D. Alumni

1. Further education
2. Careers
3. Civic leadership

E. Community service

F. Improvements in campus and physical facilities

G. Financial growth

1. Annual operations
2. Capital -- current and endowment
3. Methods used to finance accomplishments

H. Philanthropic support -- distinctive gifts and bequests

I. Where the institution stands today

III. DIRECTIONS FOR THE FUTURE

A. Distinctions that must continue to endure

B. New directions

C. Educational objectives, curriculum, methods of teaching

D. Students

1. Number to be served
2. Nature of student body
3. Qualifications

E. Faculty and administrative requirements

F. Governance requirements

G. Financial policies

1. For tuition and fees
2. For investment management
3. For business management
4. For private gifts and grants
5. For public support

H. Physical facilities

1. Campus
2. Buildings
3. Equipment

IV. URGENT AND CONTINUING DEVELOPMENT OBJECTIVES

A. Priorities and costs

1. Endowments for:

a. Students
b. Faculty
c. Library
d. Laboratories
e. Operation of buildings
f. Campus maintenance

2. New buildings
3. Re-development of present facilities
4. Property acquisition
5. Debt reduction

B. Master plan

V. THE PLAN OF ACTION TO ACCOMPLISH FUTURE OBJECTIVES

A. Goals

B. Programs

1. To support current operations
2. To support capital expansion
3. To support special programs or projects
4. Role of estate planning and deferred giving

C. Organization

D. Timing

E. Resources

1. Constituent sources
2. Range of gifts needed
3. Opportunities for memorials and tributes
4. Methods of giving

VI. THE INSTITUTION'S SPONSORSHIP

A. Membership of the Board of Trustees

B. Membership of the development groups

C. Church/government